

LOUISIANA GAMING CONTROL BOARD

Strategic Plan FY 2004-2005 through 2009-2010

VISION:

To insure the citizens of Louisiana that gaming is strictly and impartially regulated as provided by the laws of this state.

MISSION:

To regulate all gaming activities under its jurisdiction in a manner which instills public confidence and trust that gaming activities are conducted honestly and free from criminal and corruptive elements; to insure the integrity of individual gaming activities by the regulation of persons, practices, associations and activities within the gaming industry.

PHILOSOPHY:

To effectively achieve our mission by providing professional and knowledgeable service while maintaining impartial but strict regulation of gaming activities.

GOAL:

- I. To strictly regulate all gaming activities under the jurisdiction of the Louisiana Gaming Control Board by insuring the initial and continuing suitability of all licensees and permittees and eliminating to the extent possible known criminal and corrupt influences on the gaming industry. La. R.S. 27:2, 27:15, 27:28, 27:42, 27:70, 27:306 (A) (1), 27:202, 27:234, 27:235, 27:310, 27:352 and 27:363.

VISION 2020 LINK:

Not applicable.

CHILDREN'S CABINET LINK:

Not applicable.

HUMAN RESOURCE POLICIES BENEFICIAL TO WOMEN AND FAMILIES LINK:

Public Safety Services grants flexible work schedules to accommodate employees with child care or other family issues. The Department has an Employee Assistance Program which provides information and guidance for employees and/or family members. In accordance with Federal Law, the Department supports the Family and Medical Leave Law Act and

upholds practices within those guidelines, supporting employees and families.

OBJECTIVE: I.1.

To decrease by 100% the number of licenses and permits held by known disqualified and unsuitable persons identified by the Louisiana State Police and/or Attorney General gaming investigators in order to eliminate criminal and known corrupt influences on the gaming industry.

STRATEGY:

- I.1.1. To coordinate with law enforcement agencies to identify corrupt influences on the gaming industry operating in Louisiana.
- I.1.2. To compare methods used by other gaming jurisdictions to identify and eliminate corrupt influences and unsuitable persons in their gaming industries.
- I.1.3. To supervise the appropriate state agencies in the conduct of investigations of all persons required by law to meet suitability.
- I.1.4. To require compliance by the gaming industry with all statutory requirements for gaming.
- I.1.5. To continue to monitor the background suitability investigations prior to licensing and permitting.
- I.1.6. To continue to afford applicants, licensees and permittees administrative remedies as required by law.

PERFORMANCE INDICATORS:

INPUT:	Number of administrative hearings held
	Number of licenses and permits issued by category, i.e., casino gaming, video poker
OUTPUT:	Number of decisions by Hearing Officers in each category, i.e., casino gaming, video poker
	Number of decisions by Gaming Control Board in each category, i.e., casino gaming, video poker
	Number of administrative actions as a result of failure to request an administrative hearing by category, i.e., casino gaming, video poker
OUTCOME:	Percent of known unsuitable persons that were denied a license or permit

Percent of licensees or permittees who were disqualified and/or license or permit was suspended or revoked

APPENDIX A

INTERNAL AND EXTERNAL VARIABLES

INTERNAL FACTORS:

The Louisiana Gaming Control Board consists of nine members and two ex officio members. The chairman of the board is the only board member required to devote full time to his duties. The board currently has three staff positions, two confidential assistants, one who serves as an executive director, and one principal assistant. The secretary, paralegal and docket clerk are attorney general employees. The board has supervision and control only over these employees.

The attorney general is statutorily authorized to serve as legal advisor and legal representative to the board and to provide investigative services to the board. The Department of Public Safety and Corrections, office of State Police, has responsibility for investigations and enforcement of gaming law, rules, and regulations and may issue certain gaming licenses and permits in accordance with law.

There are two individuals serving as hearings officers whose duties are to conduct administrative hearings and render decisions. The hearing officers' support staff consists of employees of the Attorney General.¹

In addition to the internal factor of the operational structure of the Louisiana Gaming Control Board, there are several external factors which affect board function.

EXTERNAL FACTORS:

Measuring outcomes is difficult in any context, but particularly so in gaming regulation. We must be guided principally by the legislative mandate to strictly regulate gaming. "Success" for us is when gaming is strictly regulated, fairly and impartially. It is not reducible to simple numerical counts of license or permit issuances, denials, revocations or suspensions. "Success" for us is also when crime, wrongdoing or unsuitable conduct is deterred through effective regulation; yet quantitative measurement of the benefits of this deterrence is a complex challenge.

In addition, it is extremely difficult to isolate the particular effects of regulatory activity from other factors that affect outcomes and over which the Board has little control.

1. **Social-Structural factors.**

The numbers of adolescents and young adults are expected to grow rapidly over the next

¹Louisiana Gaming Control Law, La. R.S. 27:1 et seq.

several years. Absent successful intervention, we can expect commensurate growth in underage gaming largely due to widely available and easily attainable internet access. Additionally, the Board is compelled by statute to provide for the enforcement of compulsive gaming regulations and programs.

2. **Emergencies and other unpredictable events.**

Experience suggests that the unexpected will occur such as a near collision between a ship and a licensed riverboat on the Mississippi River in New Orleans, the temporary closure of a licensed riverboat due to hurricanes, flood conditions, a particularly sensitive and complex case, or some other crisis that strains our time, attention and resources.

3. **Changing statutory responsibilities.**

The Board's mission, goals, priorities and workload are affected directly by laws enacted by the legislature; for example, the enactment of legislation requiring the establishment and quarterly update of a central registry of all licensed gaming operators.

4. **Rule Promulgation process.**

5. **Changing technology.**

Advancing technology affects the Board's ability to keep pace with the regulation of the gaming industry. Not only is the technology more complex, but there are changes in the way it is being applied. Technology holds great promise for strengthening the capabilities of investigative and enforcement personnel. At the same time however, technology is increasing the ability of law-breakers to evade detection and providing new opportunities for criminal behavior. The Board's goal in decreasing criminal behavior and corrupt influences is dependent in large measure upon the ability of its support agencies to wisely use technology. Currently, internet gaming is illegal in the state of Louisiana and poses future potential enforcement challenges.

6. **The effectiveness and capacity of our state partners.**

Maintaining sound regulatory policies requires the coordinated efforts of all levels of government. In order for the Board to succeed in its role, the support of the agencies which provide investigative, enforcement and legal services is needed. It is especially important that these agencies have the needed resources, skills, leadership and assistance.

7. **Developments in gaming industry.**

Growth and increased complexity of the gaming industry cause a corresponding increase in the Board's responsibilities. The fifteenth and final riverboat license has been issued and will be open in the spring of 2005, and slot machine gaming now exists at three of the state's four pari-mutuel live racing facilities. Although the Louisiana Gaming Control Board is responsible for the regulation of slot machines at qualified pari-mutuel facilities, the Louisiana Racing Commission is responsible for the regulation of horse racing.

The statute also provides for additional entities to regulate other types of gaming. The

Louisiana Lottery Corporation is responsible for the regulation of lottery tickets and the Dept. of Revenue & Taxation, Office of Charitable Gaming, handles all types of charity gaming. The Louisiana State Legislature created these separate agencies which perform different tasks and operate independently of one another.

Despite these limitations and complexities, we have made an effort to identify goals, strategies and indicators of performance that are meaningful and appropriate to our mission.

APPENDIX B

CLIENT STATEMENT

The Louisiana Gaming Control Board serves the citizens of the State of Louisiana through the regulation of the gaming industry as mandated by the legislature.

APPENDIX C

PERFORMANCE INDICATOR DOCUMENTATION

OBJECTIVE I.1

Program: Gaming Regulation

Objective: I.1

Indicator Name: Percent of known unsuitable persons that were denied a license or permit

Indicator LaPAS PI Code: 14328

1. Type and Level:

Outcome - Key

2. Rationale:

To show the effectiveness in eliminating the number of known corrupt influences involved in the gaming industry.

3. Use:

This program is used for internal management purposes.

4. Clarity:

Clearly indicates what is being measured.

5. Validity, Reliability and Accuracy:

This indicator has not been audited.

Internal documentation is maintained.

6. Data Source, Collection and Reporting:

Manuel internal documentation

Monthly

Quarterly

7. Calculation Methodology:

Calculate the number of licenses and permits denied based upon the number of persons found unsuitable.

8. Scope:

Aggregated

9. Caveats:

This indicator has no limitations or weaknesses.

10. Responsible Person:

Anne Neeb, Executive Director

PERFORMANCE INDICATOR DOCUMENTATION

OBJECTIVE I.1

Program: Gaming Regulation

Objective: I.1

Indicator Name: Percentage of licensees or permittees who were disqualified and/or license or permit was suspended or revoked

Indicator LaPAS PI Code: 14329

1. Type and Level:

Outcome - Key

2. Rationale:

To show the effectiveness in eliminating any licensee or permittee who becomes disqualified.

3. Use:

This program is used for internal management purposes.

4. Clarity:

Clearly indicates what is being measured.

5. Validity, Reliability and Accuracy:

This indicator has not been audited.

Internal documentation is maintained.

6. Data Source, Collection and Reporting:

Manuel internal documentation

Monthly

Quarterly

7. Calculation Methodology:

Calculate the number of licenses and permits suspended or revoked based upon the number of licensees and permitteess who become disqualified.

8. Scope:

Aggregated

9. Caveats:

This indicator has no limitations or weaknesses.

10. Responsible Person:

Anne Neeb, Executive Director

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PERFORMANCE INDICATOR DOCUMENTATION

OBJECTIVE I.1

Program: Gaming Regulation

Objective: I.1

Indicator Name: Number of administrative hearings held

Indicator LaPAS PI Code: 2115

1. Type and Level:

Input - Key

2. Rationale:

The number of administrative hearings held will be used to ascertain the effectiveness of strategy in eliminating the number of licenses and permits held by disqualified and unsuitable persons.

3. Use:

This program is used for internal management purposes.

4. Clarity:

Clearly indicates what is being measured.

5. Validity, Reliability and Accuracy:

This indicator has not been audited.

Internal documentation is maintained and accuracy of numbers is verified by more than one person.

6. Data Source, Collection and Reporting:

Internal documentation at the Hearing Office

Quarterly

Quarterly

7. Calculation Methodology:

Compile the number of administrative hearings held.

8. Scope:

Aggregated

9. Caveats:

This indicator has no limitations or weaknesses.

10. Responsible Person:

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PERFORMANCE INDICATOR DOCUMENTATION

OBJECTIVE I.1

Program: Gaming Regulation

Objective: I.1

Indicator Name: Number of Hearing Officer decisions – Casino Gaming

Indicator LaPAS PI Code: 15557

1. Type and Level:

Output - Key

2. Rationale:

The number of Hearing Officer decisions will be used to determine the effectiveness of the administrative process.

3. Use:

This program is used for internal management purposes.

4. Clarity:

Clearly indicates what is being measured.

5. Validity, Reliability and Accuracy:

This indicator has not been audited.

Internal documentation is maintained and accuracy of numbers is verified by more than one person.

6. Data Source, Collection and Reporting:

Internal documentation at both the Hearing Office and the Gaming Control Board

As Rendered

Quarterly

7. Calculation Methodology:

Compile the number of decisions rendered. (Casino Gaming)

8. Scope:

Aggregated

9. Caveats:

This indicator has no limitations or weaknesses.

10 Responsible Person:

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PERFORMANCE INDICATOR DOCUMENTATION

OBJECTIVE I.1

Program: Gaming Regulation

Objective: I.1

Indicator Name: Number of Hearing Officer decisions – Video Poker

Indicator LaPAS PI Code: 6715

1. Type and Level:

Output - Key

2. Rationale:

The number of Hearing Officer decisions will be used to determine the effectiveness of the administrative process.

3. Use:

This program is used for internal management purposes.

4. Clarity:

Clearly indicates what is being measured.

5. Validity, Reliability and Accuracy:

This indicator has not been audited.

Internal documentation is maintained and accuracy of numbers is verified by more than one person.

6. Data Source, Collection and Reporting:

Internal documentation at both the Hearing Office and Gaming Control Board

Quarterly

Quarterly

7. Calculation Methodology:

Compile the number of decisions rendered. (Video Poker)

8. **Scope:**
Aggregated
9. **Caveats:**
This indicator has no limitations or weaknesses.
10. **Responsible Person:**
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PERFORMANCE INDICATOR DOCUMENTATION

OBJECTIVE I.1

Program: Gaming Regulation
Objective: I.1
Indicator Name: Number of Louisiana Gaming Control Board decisions – Casino Gaming
Indicator LaPAS PI Code: 15558

1. **Type and Level:**
Output - Key
2. **Rationale:**
The number of decisions by the Louisiana Gaming Control Board will be used to determine the effectiveness of the administrative process.
3. **Use:**
This program is used for internal management purposes.
4. **Clarity:**
Clearly indicates what is being measured.
5. **Validity, Reliability and Accuracy:**
This indicator has not been audited.
Internal documentation is maintained and accuracy of numbers is verified by more than one person.
6. **Data Source, Collection and Reporting:**
Internal documentation at the Gaming Control Board
As Rendered
Quarterly

7. **Calculation Methodology:**
Compile the number of decisions rendered. (Casino Gaming)
8. **Scope:**
Aggregated
9. **Caveats:**
This indicator has no limitations or weaknesses.
10. **Responsible Person:**
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PERFORMANCE INDICATOR DOCUMENTATION

OBJECTIVE I.1

Program: Gaming Regulation

Objective: I.1

Indicator Name: Number of Louisiana Gaming Control Board decisions – Video Poker

Indicator LaPAS PI Code: 6718

1. **Type and Level:**
Output - Key
2. **Rationale:**
The number of decisions by the Louisiana Gaming Control Board will be used to determine the effectiveness of the administrative process.
3. **Use:**
This program is used for internal management purposes.
4. **Clarity:**
Clearly indicates what is being measured.
5. **Validity, Reliability and Accuracy:**
This indicator has not been audited.
Internal documentation is maintained and accuracy of numbers is verified by more than one person.
6. **Data Source, Collection and Reporting:**
Internal documentation at the Gaming Control Board
As Rendered

Quarterly

7. Calculation Methodology:

Compile the number of decisions rendered. (Video Poker)

8. Scope:

Aggregated

9. Caveats:

This indicator has no limitations or weaknesses.

10. Responsible Person:

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PERFORMANCE INDICATOR DOCUMENTATION

OBJECTIVE I.1

Program: Gaming Regulation

Objective: I.1

Indicator Name: Number of Administrative Actions as a result of failure to request an administrative hearing – Casino Gaming

Indicator LaPAS PI Code: 15559

1. Type and Level:

Output - Key

2. Rationale:

To determine the number of licenses or permits denied or revoked because of failure to take advantage of administrative remedies.

3. Use:

This program is used for internal management purposes.

4. Clarity:

Clearly indicates what is being measured.

5. Validity, Reliability and Accuracy:

This indicator has not been audited.

Internal documentation is maintained and accuracy of numbers is verified by more than one person.

6. Data Source, Collection and Reporting:

Internal documentation
As Rendered
Quarterly

7. Calculation Methodology:

Compile the number of licenses or permits denied or revoked (Casino Gaming)

8. Scope:

Aggregated

9. Caveats:

This indicator has no limitations or weaknesses.

10. Responsible Person:

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PERFORMANCE INDICATOR DOCUMENTATION

OBJECTIVE I.1

Program: Gaming Regulation

Objective: I.1

Indicator Name: Number of Administrative Actions as a result of failure to request an administrative hearing – Video Poker

Indicator LaPAS PI Code: 6721

1. Type and Level:

Output - Key

2. Rationale:

To determine the number of licenses or permits denied or revoked because of failure to take advantage of administrative remedies.

3. Use:

This program is used for internal management purposes.

4. Clarity:

Clearly indicates what is being measured.

5. Validity, Reliability and Accuracy:

This indicator has not been audited.

Internal documentation is maintained and accuracy of numbers is verified by more than one person.

6. Data Source, Collection and Reporting:

Internal documentation
As Rendered
Quarterly

7. Calculation Methodology:

Compile the number of licenses or permits denied or revoked (Video Poker)

8. Scope:

Aggregated

9. Caveats:

This indicator has no limitations or weaknesses.

10. Responsible Person:

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PERFORMANCE INDICATOR DOCUMENTATION

OBJECTIVE I.1

Program: Gaming Regulation

Objective: I.1

Indicator Name: Number of Licenses/Permits Issued - Casino Gaming

Indicator LaPAS PI Code: 15560

1. Type and Level:

Input - Key

2. Rationale:

To determine the increase or decrease in the number of licenses/permits held by qualified and suitable persons.

3. Use:

This program is used for internal management purposes.

4. Clarity:

Clearly indicates what is being measured.

5. Validity, Reliability and Accuracy:

This indicator has been audited. There were no discrepancies found.
Internal documentation is maintained and accuracy of numbers is verified by more than one person.

6. Data Source, Collection and Reporting:

Internal documentation
As Rendered
Quarterly

7. Calculation Methodology:

Compile the number of licenses/permits issued. (Casino Gaming)

8. Scope:

Aggregated

9. Caveats:

This indicator has no limitations or weaknesses.

10. Responsible Person:

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PERFORMANCE INDICATOR DOCUMENTATION

OBJECTIVE I.1

Program: Gaming Regulation

Objective: I.1

Indicator Name: Number of Licenses/Permits Issued - Video Poker

Indicator LaPAS PI Code: 2113

1. Type and Level:

Input - Key

2. Rationale:

To determine the increase or decrease in the number of licenses/permits held by qualified and suitable persons.

3. Use:

This program is used for internal management purposes.

4. Clarity:

Clearly indicates what is being measured.

5. **Validity, Reliability and Accuracy:**

This indicator has not been audited.

Internal documentation is maintained and accuracy of numbers is verified by more than one person.

6. **Data Source, Collection and Reporting:**

Internal documentation

As Rendered

Quarterly

7. **Calculation Methodology:**

Compile the number of licenses/permits issued. (Casino Gaming)

8. **Scope:**

Aggregated

9. **Caveats:**

This indicator has no limitations or weaknesses.

10. **Responsible Person:**

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